

TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

CONCERNING A FILING UNDER 35 U.S.C. 371

ATTORNEY'S DOCKET NUMBER: R & G Case 305



09/486012  
US

418:Rec'd PCT/PTO 17 FEB 2000

U.S. APPLICATION NO.

(If known, see 37 CFR 1.5): Unknown

INTERNATIONAL APPLICATION NO.: PCT/GB98/02488 INTERNATIONAL FILING DATE: August 19, 1998

PRIORITY DATE CLAIMED: August 20, 1997

TITLE OF INVENTION: SHADING THREE DIMENSIONAL COMPUTER GRAPHICS IMAGES

APPLICANT(S) FOR DO/EO/US: Simon J. FENNEY

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(l).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19<sup>th</sup> month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau)
  - b. ☐ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)).
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau.
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

**Items 11. to 16. below concern document(s) or information included:**

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment.  
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☐ Other items or information:
  1. Amendment Transmittal
  2. Amendment Before First Office Action
  3. Title page of Publication No. WO 99/09523
  4. Request Form PCT/RO/101
  5. International Search Report Forms PCT/ISA/220 and PCT/ISA/210
  6. Demand Form PCT/IPEA/401
  7. Written Opinion Form PCT/IPEA 408
  8. International Preliminary Examination Report Forms PCT/IPEA/416 and PCT/IPEA/409 and attached annexes
  9. Formal Drawings (3 sheets)
  10. Postal Card

17. [X] The following fees are submitted:

CALCULATIONS PTO USE ONLY

**BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)):**

Search Report has been prepared by the EPO or JPO..... \$ 840.00  
International preliminary examination fee paid to USPTO  
(37 CFR 1.482)..... \$ 670.00  
No international preliminary examination fee paid to USPTO (37  
CFR 1.482) but international search fee paid to USPTO  
(37 CFR 1.445(a)(2))..... \$ 690.00  
Neither international preliminary examination fee (37 CFR 1.482)  
nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO... \$ 970.00  
International preliminary examination fee paid to USPTO (37 CFR  
1.482) and all claims satisfied provisions of PCT Article 33(2)-(4).... \$ 96.00

**ENTER APPROPRIATE BASIC FEE AMOUNT =**

\$840.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30  
months from the earliest claimed priority date (37 CFR 1.492(e)).

\$

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	1 - 20 =	0	X \$ 18.00	\$	0.00
Ind. claims	1 - 3 =	0	X \$ 78.00	\$	0.00
MULTIPLE DEPENDENT CLAIMS (if applicable)			+ \$260.00	\$	0.00
<b>TOTAL OF ABOVE CALCULATIONS</b>				<b>=</b>	<b>\$</b> 0.00

Reduction by 1/2 for filing by small entity, if applicable. Small Entity Statement  
must also be filed (Note 37 CFR 1.9, 1.27, 1.28).

\$

0.00

**SUBTOTAL**

**=** \$

840.00

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30  
months from the earliest claimed priority date (37 CFR 1.492(f)).

+ \$

0.00

**TOTAL NATIONAL FEE**

**=**

\$840.00

Fee for recording assignment (37 CFR 1.21(h)). The assignment must be accompanied  
by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property + \$

**TOTAL FEES ENCLOSED**

**=**

\$840.00

**Amount to be refunded  
charged \$**

a. [X] A check in the amount of \$840.00 to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees. A duplicate  
copy of this sheet is enclosed.

c. [X] The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to  
Deposit Account No. 06-1382. A duplicate copy of this sheet is enclosed.

**NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a)  
or (b)) must be filed and granted to restore the application to pending status.**

IN DUPLICATE

SEND ALL CORRESPONDENCE TO:  
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300.9912

Form PTO-1390 Page 2 of 2

*Dale H. Thiel*  
**FILE** Dale H. Thiel  
Registration Number: 24 323

Express Mail Label No.: EL 388 784 238 US

IN THE U.S. PATENT AND TRADEMARK OFFICE

February 17, 2000

Applicant(s) : Simon J. FENNEY  
For : SHADING THREE DIMENSIONAL  
COMPUTER GRAPHICS IMAGES

PCT International Application No.: PCT/GB98/02488

PCT International Filing Date: August 19, 1998

U.S. Application No.

(if known, see 37 CFR 1.5): Unknown

Atty. Docket No.: R & G Case 305

Box PCT

Assistant Commissioner for Patents  
Washington, DC 20231

PRELIMINARY AMENDMENT CANCELLING CLAIMS

Sir:

Prior to calculation of the filing fee in the above-identified application, kindly enter the following:

IN THE CLAIMS

Kindly cancel Claims 2-19, without prejudice.

REMARKS

This amendment cancels claims to reduce the filing fee.  
Please enter this amendment before calculating the filing fee.

Respectfully submitted,

*Dale H. Thiel*

*for*

Dale H. Thiel

DHT/L/jp

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Timothy B. Clise	Reg. No. 40 957
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Encl: None

## PATENT APPLICATION

IN THE U.S. PATENT AND TRADEMARK OFFICE

09/486012

February 17, 2000

Applicant(s) : Simon J. FENNEY  
 Title : SHADING THREE DIMENSIONAL  
 COMPUTER GRAPHICS IMAGES  
 Serial No. : Unknown Group : Unknown  
 Filed : Unknown Examiner: Unknown  
 International Application No.: PCT/GB98/02488  
 International Filing Date : August 19, 1998  
 Atty. Docket No.: R & G Case 305  
 Box PCT  
 Assistant Commissioner for Patents  
 Washington, DC 20231

Sir:

Herewith is an amendment in the above-identified application.

- ☐ Statement(s) re small entity status submitted previously.  
☐ \_\_\_\_\_ Statement(s) re small entity status enclosed.  
☒ No additional filing fee is required.  
☐ The additional filing fee has been calculated as shown below:

For	No. Filed	No. Extra	(X) LG Entity	RATE	( ) SM Entity	Fee
Basic Fee				\$690.00	\$345.00	\$0.00
Total Claims (17 - 20 = 0)			x	\$ 18.00	x \$ 9.00	0.00
Indep. Claims (2 - 3 = 0)			x	\$ 78.00	x \$ 39.00	0.00
<input type="checkbox"/> Multiple Dep. Claim			+	\$260.00	+	\$130.00
*** TOTAL FILING FEE ***						0.00

[X] A Check for \$840.00 is enclosed to cover fees.

[X] Please credit any overpayment, or charge any additional filing fee or application processing fee required under 37 CFR 1.16 or 1.17 by this communication, to Deposit Account No. 06-1382. A duplicate copy of this sheet is enclosed.

IN DUPLICATE

DHT/L/jp

Encl: Listed above

Respectfully submitted,

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Express Mail Label No.: EL 388 784 238 US

IN THE U.S. PATENT AND TRADEMARK OFFICE

February 17, 2000

Applicant(s) : Simon J. FENNEY  
For : SHADING THREE DIMENSIONAL  
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PCT International Application No.: PCT/GB98/02488  
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U.S. Application No.  
(if known, see 37 CFR 1.5): Unknown  
Atty. Docket No.: R & G Case 305

Box PCT  
Assistant Commissioner for Patents  
Washington, DC 20231

AMENDMENT BEFORE FIRST OFFICE ACTION

Sir:

Prior to issuance of the first Office Action in the  
above-identified application, kindly enter the following:

IN THE CLAIMS

Please cancel Claim 1, without prejudice, and replace  
with the following:

20. A method for shading a three dimensional textured  
computer graphic image comprising the steps of:  
providing data defining the three dimensional computer  
graphic image;  
providing a set of surface normal vectors corresponding  
to the texture data for the image wherein the surface normal  
vectors are stored in a local coordinate system;

providing data defining at least one light source and its direction illuminating the image wherein the light source is defined in the same local coordinate system; and

for each pixel in the image, deriving a shading value to be applied to that pixel from the set of surface normal vectors and the light source data.

21. A method according to Claim 20 in which the surface normal vectors are stored in polar coordinates.

22. A method according to Claim 20 in which the light source data is stored in polar coordinates.

23. A method according to Claim 20 in which the step of deriving a shading value to be applied to a pixel comprises deriving a colour value and a blending value from the light source data and combining this colour value with existing colour data from that pixel in dependence on the blending value.

24. A method according to Claim 20 in which the surface normal vector is stored in Cartesian coordinates.

25. A method according to Claim 24 in which the light source data is stored in Cartesian coordinates.

26. A method according to Claim 24 in which for each surface normal only two of the Cartesian coordinates are stored.

27. A method according to Claim 20 comprising the step of applying a linear filter to the texture data at least once to map values to individual pixels.

28. A method according to Claim 20 including the step of applying a glossiness parameter to a pixel.

29. Apparatus for shading a three dimensional textured computer graphic image comprising:

means for providing data defining the three dimensional computer graphic image;

means for providing a set of surface normal vectors corresponding to the texture data applied to the image wherein the surface normal vectors are stored in a local coordinate system;

means for providing data defining at least one light source and its direction illuminating the image wherein the direction of the light source is provided in the same local coordinate system; and

means for deriving a shading value to be applied to each pixel in the image from the set of surface normal vectors and the light source data.

30. Apparatus according to Claim 29 in which the surface normals are stored in polar coordinates.

31. Apparatus according to Claim 29 in which light source data is stored in polar coordinates.

32. Apparatus according to Claim 29 in which the surface normals are stored in Cartesian coordinates.

33. Apparatus according to Claim 29 in which the light source data is stored in Cartesian coordinates.

34. Apparatus according to Claim 32 in which for each surface normal only two of the Cartesian coordinates are stored.

35. Apparatus according to Claim 29 comprising means for applying a linear filter at least once to the texture data to map values onto individual pixels.

36. Apparatus according to Claim 29 in which said means for deriving a shading value to be applied to a pixel comprises means for deriving a colour value and a blending value from the light source data and means for combining the colour value with an existing colour value in dependence on the blending value.

REMARKS

This Amendment Before First Office Action is submitted in order to place the claims in better condition for examination and to conform the claims to the claims as amended at the PCT level.

Respectfully submitted,

*Liane L Churney*  
For Dale H. Thiel

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Liane L. Churney	Reg. No. 40 694
Brian R. Tumm	Reg. No. 36 328

Encl: None

336.9804



428 Rec'd PCT/PTO 17 FEB 2000

3/22/85

- 1 -

SHADING THREE DIMENSIONAL COMPUTER GRAPHICS IMAGES

This invention relates to the shading of three dimensional computer graphic images, and especially to graphic images generated in real time.

- 5 Many three dimensional computer graphics images are modelled with perfectly flat or smooth surfaces. Usually these surfaces are constructed from a plurality of small triangles to which is applied either flat shading, or smooth shading as described in "Transactions on Computers"
- 10 IEEE-20 (6) June 1971 pp 623 to 629 by Gouraud, H., graduated shading, or, less frequently Phong shading from CACM 18(6) June 1975 pp 311 to 317 "Illumination for Computer Generated Pictures". Visual detail may be applied to these surfaces via the application of textures.
- 15 These textures are generally two dimensional images and the process is similar to having an image painted onto a perfectly smooth wall. It does not model any surface roughness or any shading effects which might arise therefrom.
- 20 In computer graphics the way in which light interacts with the surface is referred to as shading. One of the simpler models used for shading is known as Lambert or diffuse shading. It is computed as a function of the direction of the light illuminating the surface and the orientation of that surface. The orientation is represented by a unit vector perpendicular to the surface (a surface normal).
- 25 The light direction is also preferably assumed to be a unit vector which points from the surface to the point of illumination. In the case of flat shading the surface normal is considered to be constant across the entire surface. With Gouraud shading three surface normals defined at the vertices of each triangle are used. The shading at the vertices of the triangles is calculated from these normals. These shading values are then
- 30

interpolated across the entire surface. This is a satisfactory approximation in many cases. However, it does lead to shading problems such as mach banding and problems with specular highlights.

5 Phong shading gives a superior result to this because it interpolates the surface normally across the triangle and then recalculates the shading at each pixel. However, both of these per pixel operations are considered to be relatively expensive computationally and, therefore,  
10 Gouraud shading is therefore more commonly used.

3D computer graphics often makes use of specular shading in addition to diffuse lighting. Specular shading is the modelling of glossy reflections of lights. In both types of shading a common basis for the calculation of the  
15 shading to be applied is a vector dot product raised to a power. This is shown in equation 1 below.

$$((1-h)+h \cdot \vec{D}_{light} \cdot \vec{D}_{normal})^p$$

In "simulation of wrinkled surfaces" by Blinn, J.F. in Siggaph 1978 pp 286 to 292 there is proposed the concept  
20 of bump mapping. This uses an adaptation of texturing to deviate surfaces normal on a pixel by pixel basis. The texture data used to form the derivation of the normal is referred to as the bump map. Although the position of the surface is not actually moved  
25 in 3D graphic space it appears rough because shading is performed with a surface normal which moves in direction as the surface is traversed.

This process is known as surface normal perturbation. What is stored in the bump map is an amount by which the  
30 surface normal is to deviate from its previous value. Thus, in order to compute the shading applied to a surface

it is necessary to retrieve data about the deviation of the surface normal from the bump map prior to applying this deviation to the surface normal. The surface normal then has to be renormalised in dependence on the orientation of the surface to which it is applied. The shading calculation is then performed.

The effect of this leads to realistic dynamic changes in shading as a light source moves relative to the surface. However, computationally the scheme is approximately the same as that of Phong shading and so to date has been restricted to non-real time applications.

We have appreciated that an effect similar to that proposed by Blinn can be implemented with much less computational power thus enabling realistic changes of shading to be implemented in real time.

Preferably this is implemented in addition to the usual 3D computer graphics rendering systems which are in common usage for texturing and shading.

Preferably, after a surface has been rendered the bump map effects are applied as an additional pass over the surface. For each image element or pixel a bump map texture element is obtained in a way identical to the usual texturing operation. Lighting values are also interpolated across the surface on a pixel by pixel basis from the light sources in use. The lighting values for a particular pixel are combined with the bump map texel (texture element) to produce an alpha value and a colour and thereby look identical to the usual output of the texturing engine. These are then supplied to the usual blending units to apply the texture. Unlike the approach taken by Blinn each texel of the bump map stores the actual direction of the surface normal after perturbation rather than the displacements of the surface normal.

These normals are given in the surface's coordinate system which is preferably the polar coordinate system. Lighting values are similarly expressed in terms relative to the surface's coordinate system.

- 5     The invention is defined with more precision in the appended claims to which reference should now be made.

A preferred embodiment of the invention will now be described in detail by way of example with reference to the accompanying drawings in which:

- 10     Figure 1 is a block diagram of circuitry a first embodiment of the invention;

Figure 2 is a schematic diagram showing the surface normal and its coordinate system; and

- 15     Figure 3 is a block diagram of the bump map hardware of Figure 1.

Figure 4 is a schematic diagram showing the surface normal and a Cartesian coordinate representation system in contrast with the polar coordinates of figure 2;

- 20     Figure 5 shows schematically a linear filter applied to texels;

As described above this invention relates to computer 3D graphics rendering systems and is applicable but not restricted to hardware based rendering systems. A hardware based system is described here by way of example.

- 25     The first embodiment of the invention shown in Figure 1 comprises a modified conventional 3D rendering system. Conventional 3D texture hardware 2 is used to apply

texture to the image and rendering hardware 4 then shades the textured image. Conventionally a single connection is provided between these two hardware blocks.

5 In the modified system of Figure 1 a store 6 is used for surface bump map direction parameters for a number of different bump maps. This stores a set of surface normals pointing in different directions in dependence on their location in the bump map. These are called up by the bump map hardware 8 which combines the lighting values for a particular pixel with the bump map data from the store 6 to produce an alpha value and a colour. These are identical to the usual output of the 3D texture hardware 2 and are then supplied to the usual blending unit which uses the alpha value to combine the colour with existing colour at that pixel in proportions dependent on the alpha value (alpha is between 0 and 1).

10

15

Thus, the system applies surface normal perturbation effects to a surface as one additional single pass to modify the existing texturing and shading. When it is determined that for a given surface and picture element "pixel" that a bump map pass is required, then the appropriate surface parameters are obtained for that surface. The surface normal for that pixel is determined by accessing the bump map texture associated with the surface in a similar manner to existing texture mapping methods. A direction parameter is also calculated for the pixel by interpolation. This is similar to the RGB interpolation performed for Gouraud shading. Thus the alpha value and colour value are supplied to the blending unit.

20

25

30

The bump map surface normals stored in store 6 are encoded in polar coordinate as shown in Figure 2. Angle S represents the elevation of the surface normal and goes from 0 to 90°. Angle R is the rotation of the surface

normal and goes from 0 to 360°. As the surface normal is a unit vector the length value is always 1 and so it is not required to store this. Thus a saving on memory is achieved.

5 In one embodiment of the invention the per surface direction parameters for the lighting sources are also encoded in spherical coordinates with parameters T ranging from 0 to 90° and Q ranging from 0 to 360°. The dot product power function of equation 1 would then be  
10 implemented as shown below in equation 2.

$$((1-h) + h(\sin(S)\sin(T) + \cos(S)\cos(T)\cos(R-Q)))^p$$

The parameter H is a weighting value that lies in the range 0 to 1. The surface direction parameters T and Q can be interpolated in a manner similar to that used in Gouraud  
15 shading.

Another embodiment would include the T and H per surface direction parameters as parameters  $k_1$ ,  $k_2$ ,  $k_3$  thus giving the dot product power function shown below in equation 3.

$$(k_1 + k_2 \sin(S) + k_3 \cos(S)\cos(R-Q))^p$$

20 Typically these values would be calculated as shown below in equation 4.

$$k_1 = (1-h); \quad k_2 = h\sin(T); \quad k_3 = h\cos(T);$$

This gives further flexibility as well as reducing the complexity of the implementation in hardware.

An embodiment of the invention using the equation shown in equation 3 is illustrated in Figure 3.

The elevation angle S for the surface normal is first passed to a sine and cosine unit 10 which computes the sine and cosine of the elevation and applies these to multipliers 12 and 14 where they are combined with lighting parameters  $k_2$  and  $k_3$ . At the same time, the rotation angle R of the surface normal has the rotation angle Q of the lighting value subtracted from it in subtractor 16. The cosine of this angle is then derived in cosine unit 18. The output of this unit is unsigned and is fed to a multiplier 20 where it serves to multiply the output of multiplier 14. The output of multiplier 12 is then passed to an adder 22 where it is added to lighting parameter  $k_1$ .

The output of adder 22 and multiplier 20 are then passed to an add/subtract unit 24. A signed bit 26 supplied by the cosine unit 18 determines whether the adder adds or subtracts the output of multiplier 20 from the output of adder 22.

The output of this adder is a signed 11 bit number which is supplied to a clamping unit which reduces it to the range 0 to 255 (8 bits) and outputs this to a power unit 30 which raises its value to a power p which is supplied to the power unit.

In this embodiment the S and R values obtained from the bump map texture are both encoded as 8 bit unsigned numbers. For S 0 to 255 represents angles of 0 to almost 90° (256 would represent 90° exactly) while for R 0 to 255 represents angles of 0 to almost 360° (256 would represent 360° exactly).

The units of Figure 3 show the number of bits and whether or not those integers are signed or unsigned.  $U \times$  represents an unsigned  $x$  bit integer. While  $S \times$  represents a signed  $x$  bit integer.

5 Thus, the alpha output to the blending unit is provided along with a colour from the existing 3D texture hardware 2. The existing colour and the new colour are then combined in the blending hardware 4 to produce a new value for that particular pixel.

10 Using this method has several advantages. Firstly, storage of surface normals as polar co-ordinates makes the bump map data compact compared to the method of Blinn which used surface normal displacements. Furthermore, renormalisation of the surface normals is not necessary  
15 because of the nature of storage as surface normals. Finally, interpolation of light direction is a relatively straight forward calculation to be performed since in most scenes there will only be a small number of light sources on which the lighting direction has to be based. This  
20 enables rendering to be performed in real time.

The bump mapping technique described above has some shortcomings. These are:

1. Interpolation of the lighting direction given at each vertex is 'tricky', as the direction is specified in polar  
25 coordinates. Although polar coordinates allow greater precision with the direction specification and do not need normalisation, to perform the interpolation requires significant modification to the iterator units. Because of this, the hardware can assume that the light direction  
30 is constant across each polygon. This effectively eliminates Phong shading.



2. For similar reason, bilinear texturing computations are more complicated. Although some modifications were made to perform angular bilinear, the actual results are not ideal.

- 5     3. The system cannot model light directions that are 'below' the horizon - these must be converted to an approximate direction that is on the horizon.

4. The software interface bears little resemblance to the actual hardware interface. This means extra work for the drivers or at least to the application.
- 10

The second embodiment described below addresses these issues. To do this there are two major changes to the implementation:

1. The light direction vector is now specified in "X,Y,Z" fixed point coordinates. This is very similar to a typical software interface, in which the light direction vector is given in floating point coordinates. Ideally, the floating point vector will have been normalised.
- 15

2. The bump map texel directions are also now specified in Cartesian coordinates, except that one component can be eliminated due to redundancy. We thus only store "X" and "Z" per texel.
- 20

- The idea of specifying bumps and light directions in a local vertex coordinate system remains the same.
- 25     Converting a height map to the new format is much easier than the old, since no trigonometry is required. Additionally, the new technique includes a 'glossiness' parameter that allows the modelling of specular highlights.

As in the first embodiment each texel stores the 'angle' or 'surface normal' of the bumpy surface at that particular texel, and it is assumed that the vector can lie anywhere within a hemisphere, as shown in figure 4.

5 We are not interested in the length of this vector (as it is assumed to be of unit length) but only in its angle. In the first embodiment, this vector was stored using polar coordinates, however these are a nuisance to interpolate.

10 In the second embodiment, the vector is represented in the more usual Cartesian coordinate system. The obvious way to store this would be X,Y,Z, where Y is always positive, and X & Z are signed values, however, we are typically limited to only 16 bits. If, however, we scale the vector  
15 such that

$$|x_s| + y_s + |z_s| = 1$$

then there is no need to store the Y component at all, since it can be derived from the other two values. Note that this vector is no longer of unit length. Also all  
20 components of this vector are  $\leq 1$ , and that the length of this scaled vector is also  $\leq 1$ .

Expressing this in terms of a 16 bit texel, we would have the following:

UNIT8 TexelX, TexelY;

25 TexelX = ((int) (Xscaled \* 127.0f)) + 127;  
TexelZ = ((int) (Zscaled \* 127.0f)) + 127;

This packs X and Z as *offset* 8 bit values. That is, a value of 0 represents  $-127/127$ , while 254 represents  $127/127$ . We use this notation rather than the usual 2's complement  
30 to make the bilinear interpolation straight-forward.

To extract the X,Y and Z components 'in the hardware', we do...

```
INT9 BumpX, BumpZ;  
UINT9 BumpY;  
  
BumpX = (TexelX - 127) * 2;  
BumpZ = (TexelZ - 127) * 2;  
5 BumpY = 255 - ABS (BumpX) - ABS(BumpZ);
```

We are guaranteed that Y is positive as  
(ABS(BumpX)+ABS(BumpZ)) must be  $\leq$  255. (The above could  
probably be expressed better).

10 TexelX and TexelZ can be the results from the  
linear/bilinear/trilinear filtering.

One of the problems with the first embodiment is the  
behaviour of the bilinear filtering. With angles, there  
is a problem with wrapping around or taking the shortest  
interpolation path. This is eliminated with the X/Z  
15 scheme.

The interpolation is performed with just the TexelX and  
TexelZ components, and the Y is calculated from the  
filtered result. Since these values are in the range  
0..255, the standard RGB filtering hardware is directly  
20 applicable. For the following examples, only a linear  
'filter' will be used since both bilinear and trilinear  
are repeated linears.

Figure 5 shows a view from above looking down on the bump  
direction hemisphere. The dotted diamond shape represents  
25 the limits of the scaled X and Z values, which when re-  
normalised with the computed Y value would stretch out to  
the boundary of the hemisphere. Three example linear  
interpolations in X and Z are shown.

For Path A, the interpolation would result in an angle  
30 that goes up and over the pole of the hemisphere - which  
is ideal. The previous method would have chosen a path

that ran in a circle 'copying' the circumference. For  
Path B, the interpolation would stay close to the  
circumference of the hemisphere. Path C, should also  
result in a sensible interpolation with a rise and fall in  
the 'Y' component.

The only likely quibble with this scheme is that the rate  
of change of the angle may not be constant, but this seems  
very minor.

To prevent loss of accuracy with fixed point  
implementations, it is important that the length of the  
vector should not decrease too greatly, since in a fixed  
point system, bits will be lost. In this encoding, the  
minimum length would occur when  $|x_s| = |y_s| = |z_s| = 1/3$ ,  
resulting in a length of  $1/\sqrt{3}$ . This loses less than 2 bits  
of accuracy, and so is acceptable.

There are two things we must guard against. The first is  
that not all possible combinations of 'texel' contents are  
valid. Since we have specified that  $|x_s| + |y_s| + |z_s| = 1$   
a texel that has  $|x_s| + |z_s| > 1$  is clearly invalid. We  
must therefore, protect against such occurrences.

The second point is that even if the original texels are  
valid, there is a small chance that the bilinear unit will  
produce X and Z values which also just exceed these legal  
values.

As with the alternate bump format the light direction  
vector is stored in Cartesian coordinates. The only space  
we have available is the OffsetRGB/original-BumpK values,  
as an example we may have 8 bits for each of the X, Y, and  
Z components. These values all need to be signed, and to  
keep accuracy, it is assumed that the light direction  
vector is normalised before conversion to integer. The  
per-vertex values would therefore be calculated from...

```
int8 VertX, VertY, VertZ;
```

```
VertLightX = ((int) (LightDir(0) * 127.0f)) & 0xFF;
```

```
VertLightY = ((int) (LightDir(1) * 127.0f)) & 0xFF;
```

```
VertLightZ = ((int) (LightDir(2) * 127.0f)) & 0xFF;
```

5 Since we are assuming that each vertex light vector is of unit length and because we are using 'linear' interpolation, the vector for a particular pixel will have a length that is  $\leq 1$ . As with the bump map, it is important that the in-between vectors are not too short or else too much accuracy will be lost.

10

If we assume that the maximum sensible angle difference will be  $120^\circ$ , then the shortest vector will be  $\sin(30^\circ) = 0.5$ . We will therefore only lose about 1 bit of accuracy due to the shortening of vectors.

15 To have the chance of 'smooth' animation, it is important that small changes in light direction can be modelled. This will be of maximum importance near where the light direction =  $(0,1,0)$  ie. on the horizon so examining the minimum integer variation that seems possible we get

20  $[2,254,0]$ . This appears to be about an angle of  $0.1$  degrees, which seems small enough.

The shading "dot product" computation is much simpler than it is with polar coordinates and is implemented in a well known manner.

25 To simulate glossy highlights, a 'power' function is usually applied to the dot product so that bright areas become concentrated. The typical Phong lighting model raises the dot product to an arbitrary power, but this is too expensive to implement in hardware.

30 A cheaper, but more than satisfactory function is to use a quadratic approximation as shown below.

Let X be the result of the dot product,

C be a 'fixed point' 8 bit concentration value, where C=0 (==0.0) gives a linear output, and C=255 (==1.0) gives maximum concentration.

5 We compute...

- $k = C + 8$ ; *(k is a 9 bit value with 3 bits of fraction)*
- $L = \text{MAX}(0, 1023 - (k * (1023 - X)) \gg 3)$ ; *L is a 10 bit fractional value*
- 10 •  $Q = (L * L) \gg 10$  *Q is a 10 bit fractional value*
- $P = L + C * (Q - L) \gg 8$ ;

P is then the fixed point result of the power function. Note that  $Q \leq L$  and so the final calculation will require signed maths.

15 In total, the highlight function will require 5 add/subtracts and 3 multiplies, although a couple of these are rather simple degenerate cases.

Thus, it will be appreciated that preferred embodiments of the present invention provide a system which enables  
20 textured surfaces to be shaded much more efficiently than has been possible.

CLAIMS

1. A method for shading a three dimensional textured computer graphic image comprising the steps of:
  - providing data defining the three dimensional computer graphic image;
  - providing a set of surface normal vectors corresponding to the texture data for the image wherein the surface normal vectors are stored in a local coordinate system;
  - providing data defining at least one light source and its direction illuminating the image wherein the light source is defined in the same local coordinate system; and,
  - for each pixel in the image, deriving a shading value to be applied to that pixel from the set of surface normal vectors and the light source data.
2. A method according to claim 1 in which the surface normal vectors are stored in polar coordinates.
3. A method according to claim 1 or 2 in which the light source data is stored in polar coordinates.
4. A method according to claim 1 in which the step of deriving a shading value to be applied to a pixel comprises deriving a colour value and a blending value from the light source data and combining this colour value with existing colour data from that pixel in dependence on the blending value.
5. A method according to claim 1 in which the surface normal vector is stored in Cartesian coordinates.
6. A method according to claim 1 or 5 in which the light source data is stored in Cartesian coordinates.
7. A method according to claim 5 in which for each surface normal only two of the Cartesian coordinates are stored.

8. A method according to any preceding claim comprising the step of applying a linear filter to the texture data at least once to map values to individual pixels.

9. A method according to any preceding claim including the step of applying a glossiness parameter to a pixel.

10. Apparatus for shading a three dimensional textured computer graphic image comprising:

means for providing data defining the three dimensional computer graphic image;

means for providing a set of surface normal vectors corresponding to the texture data applied to the image wherein the surface normal vectors are stored in a local coordinate system;

means for providing data defining at least one light source and its direction illuminating the image wherein the direction of the light source is provided in the same local coordinate system; and

means for deriving a shading value to be applied to each pixel in the image from the set of surface normal vectors and the light source data.

11. Apparatus according to claim 10 in which the surface normals are stored in polar coordinates.

12. Apparatus according to claim 10 or 11 in which light source data is stored in polar coordinates.

---

13. Apparatus according to claim 10 in which the surface normals are stored in Cartesian coordinates.

14. Apparatus according to claim 10 or 13 in which the light source data is stored in Cartesian coordinates.

15. Apparatus according to claim 13 in which for each surface normal only two of the Cartesian coordinates are stored.

16. Apparatus according to any of claims 10 to 15 comprising means



for applying a linear filter at least once to the texture data to map values onto individual pixels.

17. A method according to claim 10 in which means for deriving a shading value to be applied to a pixel comprises means for deriving a colour value and a blending value from the light source data and means for combining the colour value with an existing colour value in dependence on the blending value.

17. A method according to claim 10 in which means for deriving a shading value to be applied to a pixel comprises means for deriving a colour value and a blending value from the light source data and means for combining the colour value with an existing colour value in dependence on the blending value.

# ABSTRACT

## SHADING THREE DIMENSIONAL COMPUTER GRAPHICS IMAGES

A three dimensional textured computer graphic image  
5 is shaded by firstly providing data which defines the  
computer graphic image. Textured data is then applied to  
that image. A set of surface normal vectors  
corresponding to the texture data are then applied to the  
image and data defining at least one light source which  
10 illuminates the image is also provided. For each pixel  
in the image a shading value is derived to be applied to  
that pixel from the set of surface normal vectors and the  
light source data.

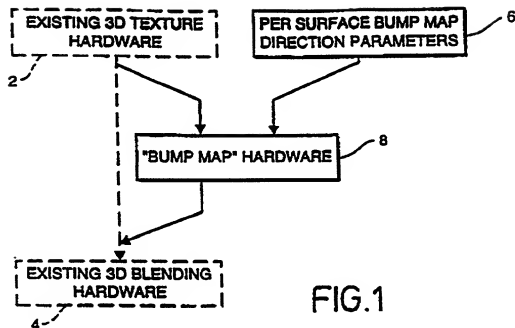


FIG.1

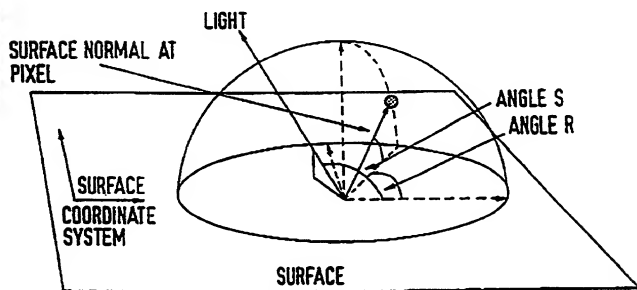


FIG.2

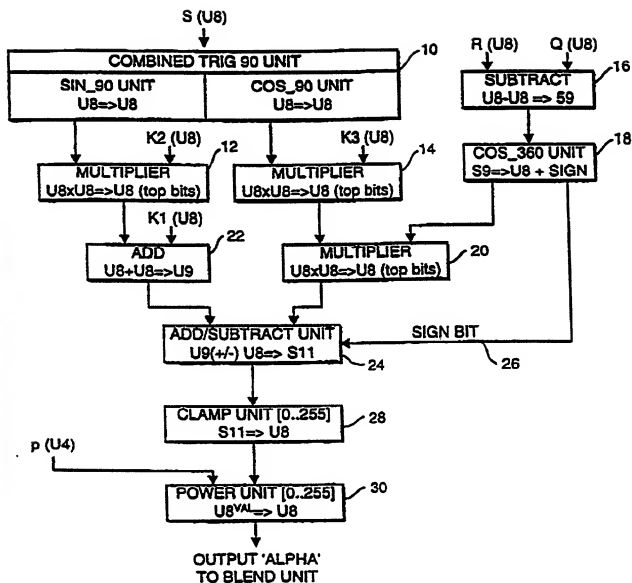


FIG.3

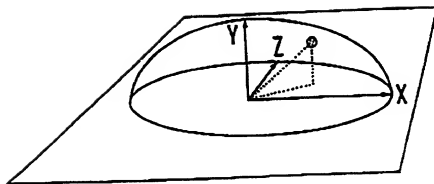


FIG.4

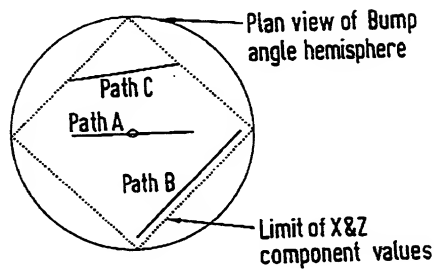


FIG.5

PTO/SB/01(12/97)

DECLARATION FOR PATENT APPLICATION

09/486012

As a below named inventor, I hereby declare that:  
My residence, post office address and citizenship are as stated next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled SHADING THREE DIMENSIONAL COMPUTER GRAPHICS IMAGES

\_\_\_\_\_, the specification of which

☐ is attached hereto  
or

☒ was filed on August 19, 1998 as United States Application No. or PCT International Application No. PCT/GB98/02488 and was amended on \_\_\_\_\_ (if applicable)

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, §1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119(a)-(d) or §365(b) of any foreign application(s) for patent or inventor's certificate, or §365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or PCT International application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)			Priority Not Claimed	Cert. Copy Attached
<u>9717656.4</u>	<u>U.K.</u>	<u>20 August 1997</u>	<input type="checkbox"/>	<u>Yes</u> <u>No</u>
(Number)	(Country)	(Day/Month/Year)		
_____	_____	_____	<input type="checkbox"/>	<u>Yes</u> <u>No</u>
(Number)	(Country)	(Day/Month/Year)		
_____	_____	_____	<input type="checkbox"/>	<u>Yes</u> <u>No</u>
(Number)	(Country)	(Day/Month/Year)		

I hereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional application(s) listed below:

\_\_\_\_\_  
(Application Serial No.)

\_\_\_\_\_  
(Filing Date)

\_\_\_\_\_  
(Application Serial No.)

\_\_\_\_\_  
(Filing Date)

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) or §365(c) of any PCT International application designating the United States, listed

below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, §1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application:

(Application Serial No.)	(Filing Date)	(Parent Patent Number) (if applicable)
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(Application Serial No.)	(Filing Date)	(Parent Patent Number) (if applicable)
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As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith:

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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

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Inventor's signature X 14 March 2000

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 supplemental additional inventor(s) sheet(s).